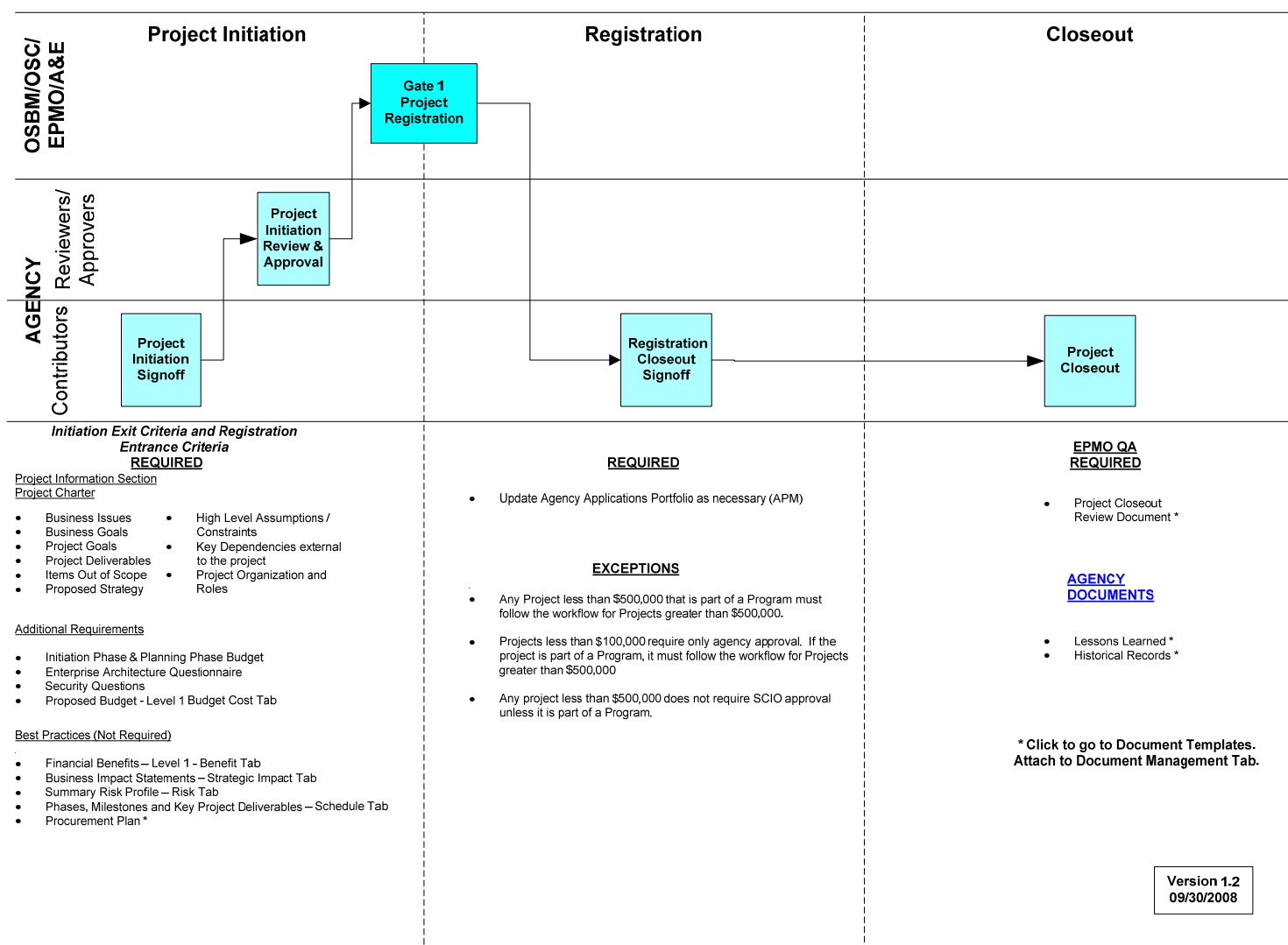**Office of Information Technology Services**

Project Portfolio Management Tool

PPM Workflow Frequent User's Guide for Registered Projects ($100K - $499K)

State of North Carolina PPM Workflow for Registered Projects (100K – 499K)

Investment Cost = Project Cost + 5 years Operations

	Project Initiation	Registration	Closeout

OSBM/OSC/ EPMO/A&E

Gate 1 Project Registration

AGENCY

Reviewers/ Approvers

Project Initiation Review & Approval

Contributors

Project Initiation Signoff

Registration Closeout Signoff

Project Closeout

Initiation Exit Criteria and Registration Entrance Criteria
REQUIRED

Project Information Section
Project Charter

- Business Issues
- Business Goals
- Project Goals
- Project Deliverables
- Items Out of Scope
- Proposed Strategy

- High Level Assumptions / Constraints
- Key Dependencies external to the project
- Project Organization and Roles

Additional Requirements

- Initiation Phase & Planning Phase Budget
- Enterprise Architecture Questionnaire
- Security Questions
- Proposed Budget - Level 1 Budget Cost Tab

Best Practices (Not Required)

- Financial Benefits – Level 1 - Benefit Tab
- Business Impact Statements – Strategic Impact Tab
- Summary Risk Profile – Risk Tab
- Phases, Milestones and Key Project Deliverables – Schedule Tab
- Procurement Plan *

REQUIRED

- Update Agency Applications Portfolio as necessary (APM)

EXCEPTIONS

- Any Project less than $500,000 that is part of a Program must follow the workflow for Projects greater than $500,000.

- Projects less than $100,000 require only agency approval. If the project is part of a Program, it must follow the workflow for Projects greater than $500,000

- Any project less than $500,000 does not require SCIO approval unless it is part of a Program.

EPMO QA
REQUIRED

- Project Closeout Review Document *

AGENCY DOCUMENTS

- Lessons Learned *
- Historical Records *

* Click to go to Document Templates. Attach to Document Management Tab.

Version 1.2
09/30/2008

Project Approval Workflow

Projects between $100,000 and $499,999 must receive approval from Statewide Approvers, but not the State Chief Information Officer. Projects between $100,000 and $499,999 are then "registered" for the remainder of the project. Projects under $100,000 may be entered in the PPM Tool at agency discretion and must be approved at the agency level only. Any project under $500,000 that is part of a Program must follow the workflow for projects >$500,000.

Project Approvers

Contributor

Contributor (typically the Project Manager) enters required information into the PPM tool and signs off signifying that the project is ready to move forward to the next phase.

Agency Approver

Agency Approver (typically the agency CIO and/or CFO) must formally "approve" the project in order for it to move to the state approval stage. Approvers have the opportunity to add comments when they approve/reject it. After all of the approvers have responded to the submission, if any of the approvers "reject" the project, it moves back to the previous stage and the project manager/contributor receives notification of the rejection.

Statewide Approvers

All statewide approvers must formally "approve" the project. Approvers have the opportunity to add comments when they approve/reject the project and to enter information on the "Issues and Risks" tab. The Statewide Approvers include the Office of State Budget and Management, the Office of the State Controller, the Architecture and Engineering Group, and the Director of the Enterprise Project Management Office. The State Chief Information Officer (SCIO) does not approve a project under $500,000 unless it is part of a Program.

Project Approval Phases

Initiation

During the Initiation phase, a high level plan for the project is created. The Project Info tab and the Budget tab (Level 1) are required. It is a Best Practice to complete the Benefit (Level 1), Risk and Strategic Impact tabs and to enter phases, milestones and key project deliverables. If a Procurement Plan is required, it should be attached to the Document Management tab.

Registration

During the Registration phase, the project work is performed. When work is completed, the Contributor signs off to move the project to Closeout.

Closeout

During the Closeout phase, the Closeout Review document and Lessons Learned document are created and attached to the Document Management tab.

Initiation

Required Data	Instructions	Location in PPM Tool
Business Issues	Describe what business factors led to the proposal of this project. These may be issues (i.e. any matters that require resolution), opportunities (e.g. potential for improved service or reduced cost) or mandates (e.g. state or federal).	Project Info tab, Business Issues
Business Goals	Describe what this project will achieve at a business level. The Business Goals specifically define those outcomes through which the Project Mission will be accomplished. A single project may have multiple Business Goals.	Project Info tab, Business Goals
Project Goals	Describe the project goals. The project goal is delivery of a product that will allow achievement of the business goal	Project Info tab, Project Goals
Project Deliverables	Describe the project deliverables. Products or services that will result from work on this project.	Project Info tab, Project Deliverables
Items Out of Scope	Define what is out of scope for this project. Eliminate ambiguity or uncertainty by specifically stating any defined exclusions.	Project Info tab, Items Out of Scope
Proposed Strategy	Describe the strategy this project will take from Initiation to Implementation. The proposed strategy may be viewed as a preliminary, high-level work plan – a summary of the major tasks to be performed and a brief explanation of how each task will be executed.	Project Info tab, Proposed Strategy
High Level Assumptions / Constraints	List any Assumptions and Constraints that may affect the project.	Project Info tab, High Level Assumptions / Constraints

Required Data	Instructions	Location in PPM Tool
Key Dependencies external to the project	List any dependencies external to this project that will have a direct impact to the cost, schedule or resources of this project. Is the success of this project dependent upon delivery of some product or service that is outside the control of the project team? Is any other project depending upon the timely delivery of a product or service from this project? If yes, list them here.	Project Info tab, Key Dependencies External to the Project
Project Organization and Roles	List individuals and groups involved in the project along with their roles. If you have created an Org Chart, please attach it to the Document Management tab and reference the document here.	Project Info tab, Project Organization and Roles
Initiation Phase Budget	Enter the estimated cost of the Initiation Phase for this project. This is the same number that was entered on the Budget Cost tab for Initiation at level 1. (This will be displayed in the Total column of the Budget Cost tab.)	Project Info tab, Initiation Phase Budget
Planning & Design Phase Budget	Enter the estimated cost of the Planning & Design Phase for this project. This is the same number that was entered on the Budget Cost tab for Initiation at level 1. (This will be displayed in the Total column of the Budget Cost tab.)	Project Info tab, Planning & Design Phase Budget
For this fiscal year, are funds currently budgeted for this project?	Indicate whether this project is funded for this fiscal year by selecting "Yes" or "No".	Project Info tab, Budget Information Section
For Fiscal Year, If Yes, please reference the application budget codes and fund codes. If no, what is your plan to secure funding?	Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).	Project Info tab, Budget Information Section
For the total scope of the project, are funds currently budgeted?	Indicate whether the funds are budgeted for the entire project by selecting "Yes" or "No".	Project Info tab, Budget Information Section

Required Data	Instructions	Location in PPM Tool
For Total Scope, If yes, please reference the application budget codes and funds. If no, what is your plan to secure funding?	Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).	Project Info tab, Budget Information Section
Expansion Budget Request	Indicate whether this is an expansion budget request by selecting "Yes" or" No".	Project Info tab, Budget Information Section
New Expansion Budget $ required in Year 1	If this is an expansion budget request, indicate whether the funds are required in year 1 by selecting "Yes" or "No".	Project Info tab, Budget Information Section
New Expansion Budget $ required in Year 2	If this is an expansion budget request, indicate whether the funds are required in year 2 by selecting "Yes" or "No".	Project Info tab, Budget Information Section
Select the Common Shared technical Infrastructure and Services	Using the drop down list, select all applicable services that will be used in the implementation of this system. Refer to the State CIO website for additional insights as to the purpose and intent of Common Shared Technical Infrastructure and Technical Services. Refer to the ITS website for a more complete description of listed services.	Project Info tab, Enterprise Architecture Questionnaire
Will this project replace or enhance an existing system?	Specify whether the purpose of this project is to replace or enhance all or a portion of an existing production system by selecting "Y" or "N".	Project Info tab, Enterprise Architecture Questionnaire
Will the project include security enhancements for an existing system?	Specify whether all or part of the purpose of this project is to improve the security of an existing system by selecting "Y" or "N".	Project Info tab, Enterprise Architecture Questionnaire
Which clients will access this system via the internet?	Using the drop down list, select the type of users that may access this system via the internet from their office, at home (e.g. telecommuting), or from remote	Project Info tab, Enterprise Architecture Questionnaire

Required Data	Instructions	Location in PPM Tool
	locations (e.g. mobile workers). Citizens may access the system from any location. Businesses (i.e. employees of businesses) may also access systems via the Internet in the certain cases (e.g. established extranet business relations). If any of these cases (or similar situations are true), then the appropriate values should be selected.	
Which clients will require login functionality?	Using the drop down list select the type of login access required for internet access.	Project Info tab, Enterprise Architecture Questionnaire
Is the system required to comply with federal or state FERPA privacy laws?	Using the drop down list choose the state and/or federal regulations with which this project must comply. Ex: Health Information Portability and Accountability Act (HIPAA) and the Family Education Rights and Privacy Act (FERPA).	Project Info tab, Enterprise Architecture Questionnaire
Will this system interface with State Business Infrastructure Systems?	Indicate whether Interfacing with the State Business Infrastructure Systems is a critical component of any system being implemented by selecting "Y" or "N".	Project Info tab, Enterprise Architecture Questionnaire
Which entities will this system integrate with?	Using the drop down list, select all entities that will need integration to this system. Ex: May be within an agency, inter-agency, inter-governmental, or government to business.	Project Info tab, Enterprise Architecture Questionnaire
Which staffing approach will be utilized to deliver this system?	Using the drop down list, select all staffing approaches that will be used to deliver this system.	Project Info tab, Enterprise Architecture Questionnaire
How will the functionality for this system be delivered?	Using the drop down list, select the method with which this system will be delivered. Incremental implementation of a system is most often the best method to deliver system functionality. However; some systems must be implemented holistically. Ex: At the beginning of a fiscal year.	Project Info tab, Enterprise Architecture Questionnaire
What Pilot approach will be utilized prior to rollout of	If this is a pilot project, use the drop down list to choose the Pilot Approach. If this	Project Info tab, Enterprise Architecture Questionnaire

Required Data	Instructions	Location in PPM Tool
this system?	is not a Pilot project, please select NA. Proof of Concept – Software written to gather requirements, prove or test a technology, language, environment, or approach. A proof of concept should not be implemented as a production system. Prototype – A small working version of a proposed system used to gather requirements, validate requirements, or demonstrate system functionality. Pilot – An approach designed to evaluate a preliminary version of a system in a simulated production environment. Limited Production – A production system is rolled out to a predetermined subset of users and proven to perform as expected. Not Applicable – No pre-production rollout activities will be conducted.	
Will your project accept credit cards?	Indicate whether this project will use credit cards by selecting "Y" or "N". If the project is using credit cards it must become Payment Card Industry (PCI) compliant prior to implementation.	Project Info tab, Security Questions
As a result of the project will there be collection and/or storage of Personal/Confidential data? If so, choose which data.	Using the drop-down list, select the type of personal/confidential data that will be collected. Please select all that are applicable from the drop-down list, You may have more than one selection for this project.	Project Info tab, Security Questions
Proposed Budget - Level 1 Budget Cost Tab	Enter the budget at level 1 for Gate 1. The Budget should include 5 years of O & M cost. For additional information on budget codes and cost breakdown please seek guidance from OSBM.	Budget Cost tab, Level 1
Financial Benefits - Level 1 Benefit Tab	Enter the Benefits dollars at level 1. It is a Best Practice, not required, to enter Benefit data.	Benefits tab, Level 1, Benefits Cost Center
Business Driver Impact Statements - Strategic Impact Tab	Tab includes questions on Grow Self Service, Ensure Legal and Regulatory Compliance, Revenue Generation, Cost savings (Net), Unified Services. It is a Best Practice, not required, to answer all questions.	Strategic Impact Tab
Summary Risk Profile - Risk Tab	Tab includes questions on Project Management Risk, Technology Risk,	Risk Tab

Required Data	Instructions	Location in PPM Tool
	Organization Risk, Business / Program Impact Risk, and Consequence of Failure Risk. It is a Best Practice, not required, to answer all questions.	
Procurement Plan	Complete Procurement Plan template It is a Best Practice, not required, to include a procurement plan.	Attach to Document Management tab
Planning & Design Phase Milestones and Key Project Deliverables	Enter the name and the planned end date for Initiation Phase and Planning & Design Phase Milestones and Key Project Deliverables that are known at the time of Initiation. It is a Best Practice, not required, to enter data on the Schedule tab.	Schedule tab Planning & Design Phase Milestones and Key Project Deliverables
Signoff	All Contributors must sign off on the project before it moves forward for approval.	Workflow Link on Project Info tab. Scroll to bottom of page to sign off.

Registration

Required Data	Instructions	Location in PPM Tool
APM	Update Agency Applications Portfolio (APM) data as necessary.	Applications listed in APM section of tool.
Signoff	All Contributors must sign off on the project before it moves to closeout.	Workflow Link on Project Info tab. Scroll to bottom of page to sign off.

Closeout

Required Data	Instructions	Location in PPM Tool
Lessons Learned	Complete Lessons Learned Document template	Attach to Document Management tab
Closeout Information	Complete Closeout Document.	Attach to Document Management tab
Signoff	All Contributors must sign off on the project before it moves to EPMO QA for closeout review.	Workflow Link on Project Info tab. Scroll to bottom of page to sign off.